



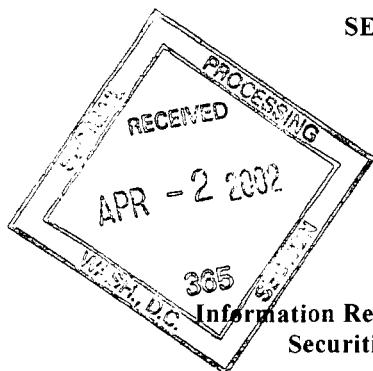
SECURITIES

02022526

SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

VF 4-4-02

## OMB APPROVAL

OMB Number: 3235-0123  
Expires: October 31, 2001  
Estimated average burden  
hours per response.....12.00ANNUAL AUDITED REPORT  
FORM X-17A-5 (A)  
PART III

## SEC FILE NUMBER

8- 52991

## FACING PAGE

Information Required of Brokers and Dealers Pursuant to Section 17 of the  
Securities Exchange Act of 1934 and Rule 17a-5 ThereunderREPORT FOR THE PERIOD BEGINNING 01/01/01 AND ENDING 12/31/01  
MM/DD/YY MM/DD/YY

## A. REGISTRANT IDENTIFICATION

NAME OF BROKER-DEALER: thinkorswim, Inc.  
CRO # 106069

## OFFICIAL USE ONLY

ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)

FIRM I.D. NO.

3304 N. Lincoln

(No. and Street)

Chicago

(City)

IL

(State)

60657

(Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT

Joel Blom 773 435-3210

(Area Code - Telephone Number)

## B. ACCOUNTANT IDENTIFICATION

INDEPENDENT PUBLIC ACCOUNTANT whose opinion is contained in this Report\*

Gleeson, Sklar, Swyers, Compagn LLP

(Name - If individual, state last, first, middle name)

2400 Big Timber Rd.

(Address)

Elgin

(City)

IL

(State)

60123

(Zip Code)

## CHECK ONE:

☒ Certified Public Accountant☐ Public Accountant☐ Accountant not resident in United States or any of its possessions.

PROCESSED

APR 05 2002

FOR OFFICIAL USE ONLY

THOMSON  
FINANCIAL

\*Claims for exemption from the requirement that the annual report be covered by the opinion of an independent public accountant must be supported by a statement of facts and circumstances relied on as the basis for the exemption. See Section 240.17a-5(e)(2)

VF 4-4-02

## OATH OR AFFIRMATION

I, Joel Blom, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of Thinkorswim, Inc., as of December 31, 2001, are true and correct. I further swear (or affirm) that neither the company nor any partner, proprietor, principal officer or director has any proprietary interest in any account classified solely as that of a customer, except as follows:

\_\_\_\_\_

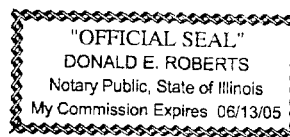
\_\_\_\_\_

\_\_\_\_\_

Joel Blom  
Signature

President  
Title

Donald E. Roberts 3/22/02  
Notary Public



This report \*\* contains (check all applicable boxes):

- ☐ (a) Facing Page.
- ☐ (b) Statement of Financial Condition.
- ☐ (c) Statement of Income (Loss).
- ☐ (d) Statement of Changes in Financial Condition.
- ☐ (e) Statement of Changes in Stockholders' Equity or Partners' or Sole Proprietors' Capital.
- ☐ (f) Statement of Changes in Liabilities Subordinated to Claims of Creditors.
- ☐ (g) Computation of Net Capital.
- ☐ (h) Computation for Determination of Reserve Requirements Pursuant to Rule 15c3-3.
- ☐ (i) Information Relating to the Possession or Control Requirements Under Rule 15c3-3.
- ☐ (j) A Reconciliation, including appropriate explanation of the Computation of Net Capital Under Rule 15c3-3 and the Computation for Determination of the Reserve Requirements Under Exhibit A of Rule 15c3-3.
- ☐ (k) A Reconciliation between the audited and unaudited Statements of Financial Condition with respect to methods of consolidation.
- ☐ (l) An Oath or Affirmation.
- ☐ (m) A copy of the SIPC Supplemental Report.
- ☐ (n) A report describing any material inadequacies found to exist or found to have existed since the date of the previous audit.

**\*\*For conditions of confidential treatment of certain portions of this filing, see section 240.17a-5(e)(3).**



March 22, 2002

Securities and Exchange Commission  
450 5<sup>th</sup> Street, NW  
Washington DC 20549



RE: Thinkorswim, Inc. -- CRD No. 106069

I am sending our Form X-17A-5 that was inadvertently omitted from our filing package of our annual audit which you received on February 28, 2002 (FedEx tracking# 826852392950). Please file this with the copy of our audit.

If you have any questions or suggestions for additions, please contact me.

Sincerely,

Joel F. Blom  
President

Cc: SEC, Chicago IL  
NASD, Rockville MD  
NASD, Chicago IL

**thinkorswim**

MEMBER NASD | MEMBER SIPC

3304 NORTH LINCOLN AVENUE CHICAGO ILLINOIS 60657 USA

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WWW.THINKORSWIM.COM